



Express Mailing Label No. EL 996 741 638 US

PATENT APPLICATION  
Docket No: 15436.247.45.1.2

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of )  
 )  
Jeffrey D. Walker et al )  
 )  
Serial No.: 10/017,201 ) Art Unit  
 ) 3663  
Filing Date: December 14, 2001 )  
 )  
Confirmation No.: 6333 )  
 )  
For: OPTICAL RECEIVER INCLUDING A LINEAR )  
SEMICONDUCTOR OPTICAL AMPLIFIER )

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT  
UNDER 37 C.F.R. § 1.97

Commissioner for Patents  
PO Box 1450  
Alexandria, Virginia 22313-1450

Sir:

Please find, pursuant to 37 C.F.R. § 1.98(a)(1), the enclosed Form PTO-1449 which contains a list of all patents, publications, or other items that have come to the attention of one or more of the individuals designated in 37 C.F.R. § 1.56(c). While no representation is made that these references may be "prior art" within the meaning of that term under 35 U.S.C. §§ 102 or 103, the enclosed listed references are disclosed so as to fully comply with the duty of disclosure set forth in 37 C.F.R. § 1.56.

Moreover, while no representation is made that a specific search of office files or patent office records has been conducted or that no better art exists, the undersigned attorney of record believes that the enclosed art is the closest to the claimed invention (taken in its entirety) of which the undersigned is presently aware, and no art which is closer to the claimed invention (taken in its entirety) has been knowingly withheld.

In accordance with 37 C.F.R. §§ 1.97 and 1.98, a copy of each of the listed references or relevant portion thereof that is not a US patent document is also enclosed.

12/16/2004 NROCHA1 00000008 10017201

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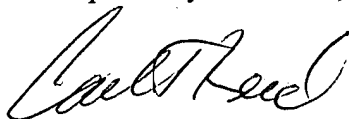
Statement of Relevance of References Listed  
Unaccompanied by English Translation  
Under 37 CFR § 1.98(a)(3)

In accordance with 37 CFR § 1.98(a)(3), the following concise explanation of the relevance of each listed reference that is not in the English language and unaccompanied by a translation into English is provided.

Japanese Application No. JP02000012978A: PROBLEM TO BE SOLVED: to amplify a signal light having nearby wavelength of that of a laser oscillation light by outputting only an amplified signal light, without the use of an optical filter in a optical amplifier using an operational principle of a traditional gain clamp semiconductor optical amplifier.

Dated this 13<sup>th</sup> day of December 2004.

Respectfully submitted,



CARL T. REED  
Attorney for Applicant  
Registration No. 45,454  
Customer No. 022913  
Telephone No. 801.533.9800

CTR:dfw

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CERTIFICATE OF EXPRESS MAIL UNDER 37 C.F.R. § 1.10

I hereby certify that the following documents are being deposited with the United States Postal Service as Express Mail Mail, postage prepaid, in an envelope addressed to: Commissioner for Patents, PO Box 1450, Alexandria, Virginia 22313-1450, on the 13<sup>th</sup> day of December 2004.

- Transmittal for Supplemental Information Disclosure Statement (3 pages)
- Supplemental Information Disclosure Statement (2 pages)
- Form PTO-1449 listing 49 references (4 pages)
- A copy of each of the references listed on the Form PTO-1449
- Form PTO-2038 submitting Credit Card Payment in the amount of \$180
- Postcard

Respectfully submitted,

CARL T. REED  
Attorney for Applicant  
Registration No. 45,454  
Customer No. 022913  
Telephone No. 801.533.9800

CTR:dfw

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Form PTO-1449

Applicant: Jeffrey D. Walker et al.

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For: OPTICAL RECEIVER INCLUDING A LINEAR SEMICONDUCTOR OPTICAL AMPLIFIER



Sheet 1 of 4

Confirmation No.: 6333

Att'y Docket No.: 15436.247.45.1.2

Group: 3663

SUPPLEMENTAL INFORMATION DISCLOSURE CITATIONS MADE BY APPLICANTU.S. Patent Documents

<u>Examiner Initial*</u>	<u>Document Number</u>	<u>Issue Date</u>	<u>Name</u>
_____ 1	4,794,346	12/27/1988	Miller
_____ 2	5,299,054	03/29/1994	Geiger
_____ 3	5,305,412	04/19/1994	Paoli
_____ 4	5,604,628	02/18/1997	Parker et al.
_____ 5	5,654,822 B1	08/05/1997	Ducellier et al.
_____ 6	5,673,141 B1	09/30/1997	Gambini
_____ 7	5,748,653	05/05/1998	Parker et al.
_____ 8	5,754,571	05/19/1998	Endoh et al.
_____ 9	5,771,320	06/23/1998	Stone
_____ 10	5,778,132	07/07/1998	Csipkes et al.
_____ 11	5,805,322	09/08/1998	Tomofuji
_____ 12	5,999,293	12/07/1999	Manning
_____ 13	6,061,156	05/09/2000	Takeshita et al.
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_____ 21	6,445,495 B1	09/03/2002	Walker et al.

Examiner:

Date Considered:

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609, draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Applicant: Jeffrey D. Walker et al.

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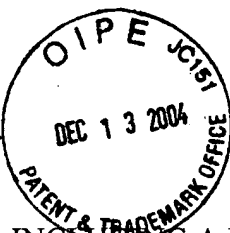
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_____ 29	2002/0001112	01/03/2002	Song
_____ 30	2004/0012845 A1	01/22/2004	Wang
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Foreign Patent Documents

Examiner Initial*	Document Number	Publication Date	Country or Patent Office	Translation
_____ 32	02000012978A	01/14/2000	Japan	No

Other Documents

(including author, title, pertinent pages, etc.)

Examiner  
Initial\*

_____ 33	S. Diez et al., <i>All-Optical Switch for TDM and WDM/TDM Systems Demonstrated in a 640 Gbit/s Demultiplexing Experiment</i> , Electronics Letters, Vol. 34, No. 8, pp. 803-805, April 16, 1988.
_____ 34	S. Diez et al., <i>Gain-Transparent SOA-Switch for High-Bitrate OTDM Add/Drop Multiplexing</i> , IEEE Photonic Technology Letters, Vol. 11, No. 1, pp. 60-62, January 1999.
_____ 35	S. Diez et al., <i>Novel Gain-Transparent SOA-Switch for High Bitrate OTDM Add/Drop Multiplexing</i> , ECOC 1998, Vol. 1, pp. 461-462, September 1998.

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Date Considered:

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- \_\_\_\_\_ 36 B. Femier et al., *Fast (3000 ps) Polarization Insensitive Semiconductor Optical Amplifier Switch with Low Driving Current (70 mA)*, Semiconductor Laser Conference, Conference Digest, 14<sup>th</sup> IEEE International, pp. 130-131, September 21-15, 1992.
- \_\_\_\_\_ 37 J.E. Fouquet et al., *Compact, Scalable Fiber Optic Cross-Connect Switches*, IEEE, 1999 Digest of the LEOS Summer Topical Meetings, pp. 59-60, 1999.
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- \_\_\_\_\_ 40 K. Panajotov et al., *Polarisation Switching in Proton-Implanted VCSELs*, 1999 Digest of the LEOS Summer Topical Meetings, pp. 55-56, July 26-30, 1999.
- \_\_\_\_\_ 41 B.C. Qui et al., *Monolithically Integrated Fabrication of 2x2 and 4x4 Crosspoint Switches Using Quantum Well Intermixing*, 2000 International Conference on Indium Phosphide and Related Materials, Conference Proceedings, pp. 415-418, May 14-18, 2000.
- \_\_\_\_\_ 42 J. Scheuer et al., *Nonlinear On-Switching of High Spatial Frequency Patterns in Ring Vertical Cavity Surface Emitting Lasers*, 1999 IEEE LEOS Annual Meeting Conference Proceedings, 12<sup>th</sup> Annual Meeting, IEEE Lasers and Electro-Optics Society 1999 Annual Meeting, Vol. 1, pp. 123-124, November 8-9, 1999.
- \_\_\_\_\_ 43 H. Soto et al., *All-Optical Switch Demonstration Using a Birefringence Effect in a Semiconductor Optical Amplifier*, IEEE CLEO, Pacific rim 1999, pp. 886-889, 1999.
- \_\_\_\_\_ 44 N. Yoshimoto et al., *Spot-Size Converted Polarization-Insensitive SOA Gate with a Vertical Tapered Submicrometer Stripe Structure*, IEEE Photonics Technology Letters, Vol. 10, No. 4, pp. 510-512, April 4, 1998.
- \_\_\_\_\_ 45 Wolfson et al., *Detailed Theoretical Investigation of the Input Power Dynamic Range for Gain-Clamped Semiconductor Optical Amplifier Gates at 10 Gb/s*, IEEE Photonics Technology Letters, 1998, Vol. 10, No. 9, pp. 1241-1243.

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- \_\_\_\_\_ 46 F. Robert et al., *All-Optical Set-Rest Operation of a Bistable Semiconductor Laser Intracavity-Coupled to a Vertical-Cavity Surface-Emitting Laser*, IEEE Photonic Technology, Letters, Vol. 12, No. 5, May 2000, pp. 465-467.
- \_\_\_\_\_ 47 D.B. Shire et al., *Gain Controlled Vertical Cavity Surface Emitting Lasers Coupled with Intracavity In-plane Lasers*, Appl. Phys. Lett. Vol. 66, No. 14, April 3, 1995, pp. 1717-1719.
- \_\_\_\_\_ 48 Agility Unveils Long-Haul Laser, Light-Reading – The Global Site for Optical Networking, retrieved from internet [www.lightreading.com/document.asp](http://www.lightreading.com/document.asp), March 30, 2001.
- \_\_\_\_\_ 49 Wolfson et al., *Detailed Theoretical Investigation of the Input Power Dynamic Range for Gain-Clamped Semiconductor Optical Amplifier Gates at 10 Gb/s*, IEEE Photonics Technology Letters, Vol. 10, No. 9, pp. 1241-1243.

### References Cited by Applicants

While the filing of Information Disclosure Statements is voluntary, the procedure is governed by the guidelines of Section 609 of the Manual of Patent Examining Procedure and 37 C.F.R. §§ 1.97 and 1.98. To be considered a proper Information Disclosure Statement, Form PTO-1449 shall be accompanied by a copy of each listed patent or publication or other item of information and a translation of the pertinent portions of foreign documents (if an existing translation is readily available to the applicant), an explanation of relevance of each reference not in the English language, and should be submitted in a timely manner as set out in MPEP Sec. 609.

Examiners will consider all citations submitted in conformance with 37 C.F.R. § 1.98 and MPEP Sec. 609 and place their initials adjacent the citations in the spaces provided on this form. Examiners will also initial citations not in conformance with the guidelines which may have been considered. A reference may be considered by the Examiner for any reason whether or not the citation is in full conformance with the guidelines. A line will be drawn through a citation if it is not in conformance with the guidelines AND has not been considered. A copy of the submitted form, as reviewed by the Examiner, will be returned to the applicant with the next communication. The original of the form will be entered into the application file.

Each citation initialed by the Examiner will be printed on the issued patent in the same manner as references cited by the Examiner on Form PTO-892.

The reference designations "A1," "A2," etc. (referring to Applicant's reference 1, Applicant's reference 2, etc.) will be used by the Examiner in the same manner as Examiner's reference designations "A," "B," "C," etc. on Office Action Form PTO-1142.

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